

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
ICOR-004SERIAL NO.
Not Yet AssignedAPPLICANT
TARI et al.FILING DATE
December 11, 2001GROUP ART UNIT
Not Yet Assigned11017 U.S. PTO
10/014864

12/11/01

U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JG	A1	3,573,747	4/6/71	Adams, et al.			
	A2	4,674,044	6/16/87	Kalmus, et al.			
	A3	4,942,616	7/17/90	Linstroth, et al.			
	A4	4,980,826	12/25/90	Wagner			
	A5	5,038,284	8/6/91	Kramer			
	A6	5,077,665	12/31/91	Silverman, et al.			
	A7	5,101,353	3/31/92	Lupien, et al.			
	A8	5,136,501	8/4/92	Silverman			
	A9	5,375,055	12/20/94	Togher, et al.			
	A10	5,724,524	3/3/98	Hunt, et al.			
	A11	5,774,880	6/30/98	Ginsberg			
	A12	5,802,499	9/1/98	Sampson, et al.			
	A13	5,809,483	9/15/98	Broka, et al.			
	A14	5,857,176	1/5/99	Ginsberg			
	A15	5,873,071	2/16/99	Ferrstenberg, et al.			
	A16	5,905,974	5/18/99	Fraser, et al.			
	A17	5,915,209	6/22/99	Lawrence			
	A18	5,924,082	7/13/99	Silverman, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
JG	B1	0512702 A2	11/11/92	Europe				
	B2	WO 99/19821	4/22/99	WIPO				
	B3	0411748 A2	2/6/91	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

EXAMINER /Jocelyn Greimel/

DATE CONSIDERED 11/08/2006

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to Applicant(s).

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EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JG	A19	5,924,083	7/13/99	Silverman, et al.			
	A20	5,963,923	10/5/99	Garber			
	A21	5,987,419	11/16/99	Hachino, et al.			
	A22	6,012,046	1/4/00	Lupien, et al.			
	A23	6,014,627	1/11/00	Togher, et al.			
	A24	6,014,643	1/11/00	Minton			
	A25	6,016,483	1/18/00	Rickard, et al.			
	A26	6,026,383	2/15/00	Ausubel			
	A27	6,058,379	5/2/00	Odom, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
JG	B4	0399850 B1	12/13/95	Europe				
	B5	0407026 B1	11/22/95	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

JG	C1	Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, P. 45.
	C2	Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.
	C3	Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.
	C4	Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.
	C5	Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 st Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.

EXAMINER /Jocelyn Greimel/	DATE CONSIDERED 11/08/2006
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OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

JG	C6	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 st Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
	C7	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 nd Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
	C8	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
	C9	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
	C10	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
	C11	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
	C12	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
	C13	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
	C14	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
	C15	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
	C16	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
	C17	Goodman, Ann, <i>The Moneyp: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
	C18	Hcyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
	C19	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
	C20	<i>Banks Look to Build FX Order- Matching System Quotron Eyed as Vendor, Minex as Co-Sponsor?</i> , FX Week, May 17, 1991.
	C21	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
	C22	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

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PTO-1449 (modified)

ATTY. DOG.

APPLICATION NO.

ICOR-004

10/014,864

LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

APPLICANT

TARI et al.

FILING DATE

December 11, 2000

GROUP

2104



U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
JG	A1	6,317,727	11/13/2001	May	G06F	17/60	
	A2	2002/0002530 A1	1/3/2002	May	G06F	17/60	
	A3						
	A4						
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	A12						

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	B1							
	B2							
	B3							
	B4							
	B5							

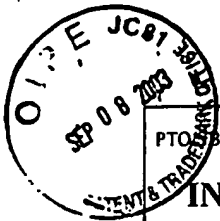
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	
	C2	
	C3	

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PTO 3/08a/b (modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Sheet 1 of 1

App. No.	10/014,864
Filing Date	December 11, 2001
First Named Inventor	Tari et al.
Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket No.	ICOR-004

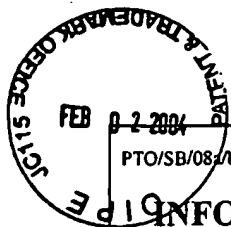
U. S. Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name
JG	1.	6,035,287	07/03/2000	Stallaert et al.
	2.			
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GROUP 3600**Foreign Patent Documents**

Examiner Initials	Cite No.	Document No.	Publication Date	Name	T
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Examiner Signature	/Jocelyn Greimel/	Date Considered	11/08/2006
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PTO/SB/08/b (modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket No.	ICOR-004

U. S. Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name
JG	1.	4,412,287	10-1983	Braddock, III, Walter D.
	2.	5,297,031	03-1994	Guterman et al.
	3.	5,727,165	03-1998	Ordish et al.
	4.	4,677,552	06-1987	Sibley, Jr. H. C.
	5.	4,554,418	11-1985	Toy, Frank C.
	6.	5,950,177	09-1999	Lupien et al.
	7.	5,136,501	08-1992	Silverman et al.
	8.	6,014,627	01-2000	Togher et al.
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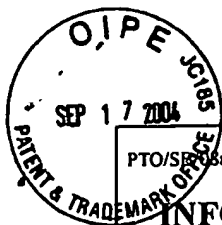
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Foreign Patent Documents

Examiner Initials	Cite No.	Document No.	Publication Date	Name	T
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Examiner Signature	/Jocelyn Greimel/	Date Considered	11/08/2006
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PTO/SP-8a/b (modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Sheet 1 of 1

App. No.	10/014,864
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Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket No.	ICOR-004

RECEIVED**U. S. Patent Documents**

SEP 20 2004

Examiner Initials	Cite No.	Document No.	Publication Date	Name
JG	1.	6,131,087	10-2000	Luke et al
	2.	5,655,088	08-1997	Midorikawa et al.
	3.	5,983,200	11-1999	Slotznick, Benjamin
	4.	6,119,101	09-2000	Peckover, Douglas L.
	5.	5,905,975	05-1999	Ausubel, Lawrence M.
	6.	5,717,989	02-1998	Tozzoli et al.
	7.	6,151,588	11-2000	Tozzoli et al.
	8.	6,055,519	04-2000	Kennedy et al.
	9.	5,214,579	05-1993	Wolfberg et al.
	10.	4,486,853	12-1984	Parsons, Frederick G.
	11.	5,689,652	11-1997	Lupien et al.
	12.	6,014,644	01-2000	Erickson, Ranel E.
	13.	6,519,574	02-2003	Wilton et al.
	14.	5,924,083	07-1999	Silverman et al.
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